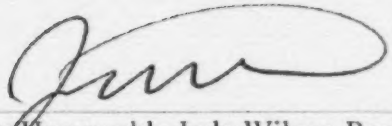
# Administrative Tribunals Support Service of Canada

2015–16

**Departmental Performance Report**



The Honourable Jody Wilson-Raybould, P.C., Q.C., M.P.
Minister of Justice and Attorney General of Canada

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represented by the Chief Administrator of the Administrative Tribunals Support Service of Canada,
2016

Catalogue No. J85-2E-PDF
ISSN 2369-548X

This document is available on the Administrative Tribunals Support Service of Canada website at:
https://www.canada.ca/en/administrative-tribunals-support-service/reports.html

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# Chief Administrator's Message

I am pleased to present the Administrative Tribunals Support Service of Canada's (ATSSC) Departmental Performance Report for 2015–16.

In 2015–16, the ATSSC marked its first full year of operations. From the outset, our main objectives were to ensure tribunals were supported in meeting their mandates without service interruption to clients or Canadians, and to proceed with further consolidation of internal services. We were able to accomplish these objectives and create a solid foundation on which we continue to build an organization that will be recognized for service excellence.

Key initiatives we undertook to meet our priorities included the development of our Vision, Mission and Values Statements through a participative process that solicited the views of employees and tribunal members in shaping the future of our organization.

To ensure openness, transparency and accountability, we fully deployed our governance structure to enable engagement with chairpersons on matters that impact their tribunals, and to ensure senior executives participate in decisions about the overall management of the ATSSC.

We successfully supported several tribunals in their efforts to improve their operations, as well as improve access to justice. Modernizing hearing room facilities, reducing case inventories, enhancing websites, increasing outreach opportunities with stakeholders, implementing legislative changes, and documenting and improving processes and procedures, are some examples of our mutual successes.

As we worked toward transitioning to comprehensive and integrated internal services to achieve greater operational efficiencies, we successfully harmonized our financial and materiel management and human resources corporate management systems. We also continued our efforts to improve IM/IT capacity by streamlining systems and networks.

Thanks to the dedication and commitment of employees and tribunal chairpersons and members throughout the year, the ATSSC is well positioned to fulfill the purpose for which it was established as it continues to build capacity to meet the needs of the tribunals, to find efficiencies through economies of scale and to improve access to justice for Canadians.

Marie-France Pelletier
Chief Administrator

# Results Highlights

The ATSSC had $56.9 million in expenditures. It utilized and/or provided payment for 603* full-time equivalents (FTEs) in 2015–16. These resources contributed to the achievement of the results provided below.

- The ATSSC successfully supported administrative tribunals in meeting their mandates, modernizing their operations and improving access to justice. In collaboration with the tribunals, certain procedures and timelines were reviewed and streamlined to enable case files to be processed more quickly and efficiently. Hearing room facilities were modernized and IT networks were improved. Websites and tribunal web presence were also enhanced to offer easier access to information about the work of the tribunals and their decisions.

- A comprehensive consultation was conducted with employees and tribunal members to define the ATSSC's Vision, Mission and Values statements. As a result, the ATSSC affirmed its goal of being recognized as a centre of excellence for service delivery; innovative, efficient and effective operations; and supporting improved access to justice.

- The ATSSC fully implemented its governance structure to ensure openness, transparency and accountability in discharging its mandate, while ensuring full engagement with chairpersons on matters of mutual interest. The governance structure supported the organization in establishing the ATSSC's Strategic and Operational Plans.

- To meet its priority of transitioning toward comprehensive and integrated internal services, the organization harmonized its corporate management systems. Most notably, the ATSSC successfully implemented a single, integrated financial and materiel management system, which replaced nine financial systems that were previously supported by the tribunals. It also introduced a single HR system (there were previously five separate systems used by various tribunals and registries) to consolidate employee records and manage leave, ensuring more effective data collection.

- An inventory of business processes was created and functional reviews in key areas of activity were initiated to support the documentation of work flows, operational processes and procedures to assist in staff training initiatives, knowledge transfer requirements and to redesign work tools or environments, where required.

*Note: The 603 FTEs include 474 FTES related to ATSSC employees, and 129 FTEs related to the payment of tribunal chairs and members as reported in Section III of this report.

# Section I: Organizational Overview

## Organizational Profile

| | |
|---|---|
| **Minister:** | The Honourable Jody Wilson-Raybould, P.C., M.P.<br>Minister of Justice and Attorney General of Canada |
| **Institutional Head:** | Marie-France Pelletier, Chief Administrator |
| **Ministerial Portfolio:** | Justice |
| **Enabling Instrument:** | *Administrative Tribunals Support Service of Canada Act*[i] |
| **Year of Incorporation/ Commencement:** | 2014 |

## Organizational Context

### Raison d'être

The Administrative Tribunals Support Service of Canada (ATSSC) is responsible for providing the support services and the facilities that are needed by each of the administrative tribunals it serves to enable them to exercise their powers and perform their duties and functions in accordance with their legislation and rules.

### Responsibilities

The ATSSC was established with the coming into force on November 1, 2014 of the *Administrative Tribunals Support Service of Canada Act*. The ATSSC is responsible for providing support services and facilities to 11 federal administrative tribunals[1] by way of a single, integrated organization.

These services include the specialized services required by each tribunal (e.g., registry, research and analysis, legal and other mandate or case activities specific to each tribunal), as well as internal services (e.g., human resources, financial services, information management and technology, accommodations, security, planning and communications).

ATSSC employees include secretariat employees who are dedicated to providing the aforementioned specialized services that directly support each administrative tribunal in fulfilling its mandate, as well as employees who work in the ATSSC's internal services directorates (i.e., Corporate Services, IM and IT, Communications and Access to Information).

[1] Canada Agricultural Review Tribunal, Canada Industrial Relations Board, Canadian Cultural Property Export Review Board, Canadian Human Rights Tribunal, Canadian International Trade Tribunal, Competition Tribunal, Public Servants Disclosure Protection Tribunal Canada, Public Service Labour Relations and Employment Board, Specific Claims Tribunal, Transportation Appeal Tribunal of Canada and the Social Security Tribunal of Canada.

## Strategic Outcome and Program Alignment Architecture

**Strategic Outcome:** Efficient and effective services which support tribunal chairs and members in exercising their statutory responsibilities and ensure that their independence is protected in a manner which promotes Canadians' confidence in the federal tribunal system.

**1.1 Program:** Tribunal Specialized and Expert Support Services
**1.2 Program:** Registry Services
**1.3 Program:** Payments to tribunal chairs and members
**Internal Services**

## Operating Environment and Risk Analysis

### Key Risks

The ATSSC supports 11 administrative tribunals, each with different mandates, statutes, regulations and policies. The ATSSC must maintain appropriate delivery capacity to support the mandates and evolving needs and priorities of those tribunals. The risks identified in this Departmental Performance Report were identified in the ATSSC's 2015–16 Report on Plans and Priorities. The risks are in line with those of a relatively new organization (the ATSSC was established on November 1, 2014) that is tasked with delivering support services, while simultaneously seeking to improve its service delivery model and achieve its goal of being recognized as a centre of excellence for service delivery.

| Risk | Risk Response Strategy | Link to the Organization's Program(s) |
|---|---|---|
| The ability to manage caseload surges that challenge the ATSSC's capability to provide the required level of support to the tribunals to discharge their mandates | - Strategies were developed to assist tribunals that anticipated surges in their caseloads.<br>- The budget allocation process provided for flexibility in order to appropriately allocate resources when required.<br>- Emerging trends were closely monitored to determine the potential impact on caseloads.<br>- Legislative changes were monitored to assess the impact on ATSSC resources. | 1.1 Program: Tribunal Specialized and Expert Support Services<br>1.2 Program: Registry Services |
| The ability to meet increased | - Strategic and operational | 1.1 Program: Tribunal Specialized |

| | | |
|---|---|---|
| corporate accountability expectations (e.g., reporting, security, procurement) | planning focussed on identifying the organization's strategic priorities as they relate to program operations and corporate capacity gaps. | and Expert Support Services<br>1.2 Program: Registry Services |
| Adverse impacts of change | - Senior management championed change and fostered a culture of leadership at all levels.<br>- Business transformation was promoted by engaging leadership at the executive level.<br>- Employees were engaged in defining the organization's vision, mission and values.<br>- Strategic priorities were defined through the governance structure. | 1.1 Program: Tribunal Specialized and Expert Support Services<br>1.2 Program: Registry Services |
| Lack of integrated security and emergency management framework | - The organization assessed its capacity to respond to a security and emergency management risk and build capacity where required.<br>- The development of an integrated security plan was conducted to address both physical and information security compliance requirements. | 1.1 Program: Tribunal Specialized and Expert Support Services<br>1.2 Program: Registry Services |

**Managing caseload surges**

Several tribunals faced fluctuations in their caseload this year. These fluctuations can be the result of several factors, such as legislative changes, historical case inventories, the capacity to hear cases due to member appointments, or they may simply be due to increases in applications in any given year. Although these fluctuations can at times be difficult to predict, the ATSSC worked with tribunals to anticipate any known factors that could impact their caseloads and established plans to manage their impact on human and financial resources. Strategies developed to deal with these caseload surges were tailored to the particular circumstances of each tribunal. The ATSSC's financial and human resources delegations and its budget allocation process were

reviewed in an effort to allow for more flexibility in responding to unexpected caseload and workload fluctuations.

**Corporate accountability**

The full implementation of the ATSSC's governance structure, which relies on engagement, collaboration and consultation, facilitates the sound stewardship and management of the organization and assists in the preparation of statutory reports.

Multi-year strategic and operational plans were developed and, with support from across the organization, continued to enhance the ATSSC's capacity to meet increased corporate accountability requirements.

The ATSSC appointed several champions to ensure the government's accountability expectations are met and government-wide initiatives are implemented namely in the areas of diversity (i.e., Official Languages and Employment Equity and Multiculturalism), security and Blueprint 2020.

**Impacts of change**

The initiatives undertaken by the ATSSC during the reporting period were designed to minimize the impact of change, foster a culture of support and leadership at all levels and to promote and support employee well-being. As a first step in supporting executives in being effective leaders in the face of change, senior management was required to participate in various leadership training sessions.

The ATSSC worked closely with its partners, including the tribunals and their portfolio departments and central agencies in an effort to prepare for planned changes so that resources were well positioned to implement and support change initiatives.

A major initiative during the year involved a comprehensive consultation with employees and tribunal members to define the ATSSC's Vision, Mission and Values statements. As a result, the ATSSC affirmed its goal of being recognized as a centre of excellence for service delivery; ensuring innovative, efficient and effective operations; and supporting improved access to justice.

**Security and emergency management**

The ATSSC appointed its first Departmental Security Officer (DSO), who is responsible for managing the organization's security program.

The organization also led a series of information sessions and consultations to complete a Departmental Security Framework aimed at raising awareness of employees and managers throughout the organization about security and the shared responsibility of safeguarding the

ATSSC's assets, people and information. In addition, ATSSC employees were required to complete the Security Awareness course offered by the Canada School of Public Service.

## Organizational Priorities

**Maintain the delivery of effective support services**

**Description**

Provide the tribunals the ATSSC serves with the necessary expert, registry and corporate services support to enable them to fulfill their mandates in a timely manner, while ensuring their independence is protected.

### Priority Type

New

### Key Supporting Initiatives

| Planned Initiatives | Start Date | End Date | Status | Link to the Organization's Program(s) |
|---|---|---|---|---|
| Establish and build collaborative relationships and implement governance structures | November 1, 2014 | Ongoing | On track | 1.1 Program: Tribunal Specialized and Expert Support Services<br>1.2 Program: Registry Services<br>1.3 Program: Payments to tribunal chairs and members<br>Internal Services |
| Identify synergies across tribunal secretariats to maximize efficiencies while safeguarding tribunal independence. This will be accomplished through engagement that takes into account the specific operational needs of each tribunal. | November 1, 2014 | Ongoing | On track | 1.1 Program: Tribunal Specialized and Expert Support Services<br>1.2 Program: Registry Services<br>1.3 Program: Payments to tribunal chairs and members<br>Internal Services |

| Progress Toward the Priority |
| --- |
| Built on the four pillars of authority, accountability, transparency and efficiency, the ATSSC fully deployed its governance structure. Comprising the Senior Management Committee, the Chairpersons Forum, three subcommittees and several working groups, the governance structure enables engagement with tribunal chairpersons at key stages on matters that may impact their tribunals, and allows for the full participation of senior executives in decisions about the overall management of the ATSSC.<br><br>A major initiative during the year involved a comprehensive consultation with employees and tribunal members to define the ATSSC's Vision, Mission and Values statements. As a result, the ATSSC affirmed its goal of being recognized as a centre of excellence for its service delivery; innovative, efficient and effective operations; and supporting improved access to justice.<br><br>The Change Agent Network, consisting of employees from all sectors and levels within the organization, spearheaded many important initiatives, including offering Open Houses to highlight and bring awareness to the work of various tribunals, secretariats and internal services teams. To promote networks and the sharing of best practices, the Change Agent Network initiated communities of practice for registry staff, administrative assistants, and managers, which supplemented the existing community of practice for lawyers. The Peer Recognition Program continued to acknowledge exceptional efforts demonstrated by staff in the areas of service excellence and change ambassadorship.<br><br>While ensuring the tribunals receive the support they require to meet their mandates and improve their operations, the ATSSC also worked with tribunals to seek opportunities to share resources where feasible. For example, tribunal hearing and meeting rooms in the National Capital Region or in regional offices were regularly available to other tribunals, thereby reducing the need for room rentals. The secretariats shared the responsibility of supporting each tribunal for the staffing of similar positions. Accordingly, the creation of shared pools of qualified candidates provided additional options to managers when staffing certain positions.<br><br>An inventory of business processes was created and functional reviews in key areas of activity were initiated to support the documentation of work flows, operational processes and procedures to assist in staff training initiatives, knowledge transfer requirements and to redesign work tools or environments, where required. |

## Transitioning toward comprehensive and integrated internal services

### Description

The ATSSC works towards identifying and adopting best practices and implementing administrative processes and services that are sound, efficient and effective so that the tribunals can meet the needs of the clients they serve through their adjudicative mandates.

### Priority Type

New

## Key Supporting Initiatives

| Planned Initiatives | Start Date | End Date | Status | Link to the Organization's Program(s) |
|---|---|---|---|---|
| Identify and implement corporate governance structures that will create a climate of engagement and community building. | March 2015 | April 2015 | Completed | 1.1 Program: Tribunal Specialized and Expert Support Services<br>1.2 Program: Registry Services<br>1.3 Program: Payments to tribunal chairs and members<br>Internal Services |
| Identify variances and synergies to inform proposals to make better use of resources as operations stabilize and the organization evolves into an increasingly integrated, centralized and coordinated service provider. | October 2015 | Ongoing | On track | 1.1 Program: Tribunal Specialized and Expert Support Services<br>1.2 Program: Registry Services<br>1.3 Program: Payments to tribunal chairs and members<br>Internal Services |
| Identify and implement common platforms for enterprise systems (HR, Finance, IM/IT) in line with Government of Canada transformation and common configuration strategies. | November 2014 | March 2016 | Completed | 1.1 Program: Tribunal Specialized and Expert Support Services<br>1.2 Program: Registry Services<br>1.3 Program: Payments to tribunal chairs and members<br>Internal Services |

| | | | | |
|---|---|---|---|---|
| Integrate internal services, where feasible, after undertaking a review of corporate services policies, procedures and tools. This review will include identifying existing gaps or weaknesses and will adopt a risk-based approach for prioritizing the development and communication of ATSSC-specific policy instruments. | November 2014 | Ongoing | On track | 1.1 Program: Tribunal Specialized and Expert Support Services<br>1.2 Program: Registry Services<br>1.3 Program: Payments to tribunal chairs and members<br>Internal Services |

## Progress Toward the Priority

As previously mentioned in this Departmental Performance Report, the ATSSC fully implemented its governance structure. In the previous fiscal year, the ATSSC had created its Senior Management Committee and Chairperson's Forum. In 2015–16, the organization's governance structure included the addition of three senior management sub-committees (i.e., Operations, Performance and Reporting, and Resources) and several working groups.

In meeting its commitment to identify and implement common platforms for enterprise systems, five of the tribunals the ATSSC serves (i.e., the Canadian Human Rights Tribunal, the Transportation Appeal Tribunal Canada, the Public Servants Disclosure Protection Tribunal, the Competition Tribunal and the Canada Agricultural Review Tribunal) were migrated onto the ATSSC IT infrastructure, offering enhanced security of information and systems, higher system availability (i.e., fewer outages), a state-of-the-art technical environment to support future needs, and a broader depth of services (e.g., after-hours emergency support). Planning for migrating two other tribunals to the network was initiated.

As well, the ATSSC successfully implemented a single, integrated financial and materiel management system, which replaced nine financial systems that were previously supported by the tribunals, which increased efficiency. In addition, Access to Information case management software was implemented to more effectively manage and report on access to information and privacy (ATIP) activity across the ATSSC.

Several human resources initiatives were also conducted during the year. A common human resources platform was launched (there were previously five separate systems used by various tribunals) that consolidated employee records, which better supports data collection and administrative task management for employee leave. Implementation of the performance management program was undertaken. The ATSSC also participated in the Public Service Commission's pilot project for a renewed staffing framework, which came into effect across the government on April 1, 2016.

Key policies and practices in the areas of procurement, travel, security and budget planning were harmonized, the goal of which is to increase awareness of management accountabilities and clarify roles and responsibilities.

# Section II: Expenditure Overview

## Actual Expenditures

### Budgetary Financial Resources (dollars)

| | 2015–16 Main Estimates | 2015–16 Planned Spending | 2015–16 Total Authorities Available for Use | 2015–16 Actual Spending (authorities used) | Difference (actual minus planned) |
|---|---|---|---|---|---|
| Expenses | 78,586,630 | 78,586,630 | 86,127,417 | 78,815,089 | 228,459 |
| Revenue | 17,690,900 | 17,690,600 | 22,707,265 | 21,963,097 | 4,272,497 |
| Total | 60,896,030 | 60,896,030[1] | 63,420,152 | 56,851,992 | -4,044,038 |

### Human Resources (Full-Time Equivalents [FTEs])

| 2015–16 Planned | 2015–16 Actual | 2015–16 Difference (actual minus planned) |
|---|---|---|
| 676 | 603 | -73 |

[1] Amount reported differs from the ATSSC's 2015–16 RPP due to the inclusion of the vote netted revenue (VNR) authority.

## Budgetary Performance Summary

### Budgetary Performance Summary for Program(s) and Internal Services (dollars)

| Program(s) and Internal Services | 2015–16 Main Estimates | 2015–16 Planned Spending[3] | 2016–17 Planned Spending[1] | 2017–18 Planned Spending[1] | 2015–16 Total Authorities Available for Use | 2015–16 Actual Spending (authorities used) | 2014–15 Actual Spending (authorities used)[4] | 2013–14 Actual Spending (authorities used)[5] |
|---|---|---|---|---|---|---|---|---|
| 1.1: Tribunal Specialized and Expert Support Services | 23,749,452 | 23,749,452 | 21,710,086 | 21,663,418 | 28,005,059 | 20,397,746 | 7,845,015 | n/a |
| 1.2: Registry Services | 8,525,444 | 8,525,444 | 8,020,477 | 7,964,085 | 5,473,199 | 7,477,407 | 3,786,373 | n/a |
| 1.3 Payments to tribunal chairs and members | 17,050,888 | 17,050,888 | 13,106,539 | 13,015,145 | 13,577,585 | 11,106,695 | 4,888,986 | n/a |
| **Subtotal** | 49,325,784 | 49,325,784 | 42,837,102 | 42,642,648 | 47,055,843 | 38,981,848 | 16,520,374 | n/a |
| **Internal Services Total** | 11,570,246 | 11,570,246 | 15,948,649 | 15,948,649 | 16,364,309 | 17,870,144 | 10,217,101 | n/a |
| **Total** | 60,896,030 | 60,896,030 | 58,785,751 | 58,591,297 | 63,420,152 | 56,851,992 | 26,737,475 | n/a |

Overall, Planned Spending is projected to decrease by $2.3 million from 2015–16 to 2017–18. This decrease in spending is mainly due to the sunsetting of a program. The ATSSC is currently working with central agencies to obtain funding for that program on an ongoing basis.

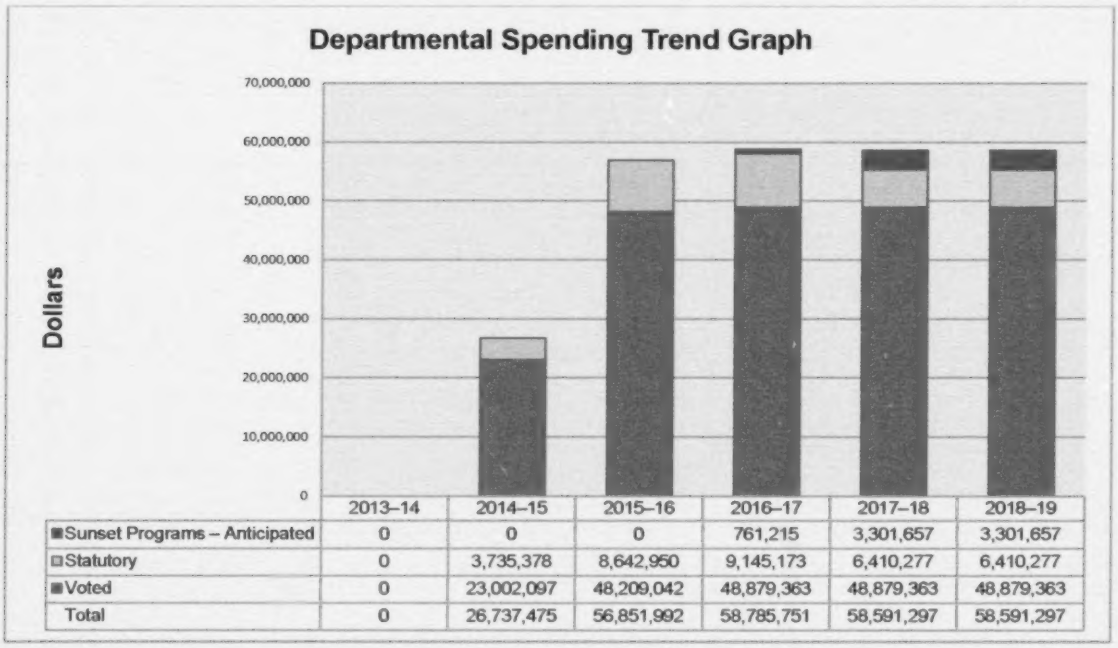
Actual Spending increased by $30.2 million from 2014–15 to 2015–16. This is primarily due to the figures for 2014-15, which only represented five months of operations, following the creation of the ATSSC on November 1, 2014, as opposed to a full year of operations in 2015–16.

[3] Amount reported differs from the ATSSC's 2015–16 RPP due to the inclusion of the vote netted revenue (VNR) authority.

[4] 2014-15 Actual Spending columns reflect the total authorities used for the period November 1, 2014 to March 31, 2015.

[5] As the ATSSC came into force on November 1, 2014, figures for 2013-14 do not exist.

## Departmental Spending Trend




| | 2013–14 | 2014–15 | 2015–16 | 2016–17 | 2017–18 | 2018–19 |
|---|---|---|---|---|---|---|
| Sunset Programs – Anticipated | 0 | 0 | 0 | 761,215 | 3,301,657 | 3,301,657 |
| Statutory | 0 | 3,735,378 | 8,642,950 | 9,145,173 | 6,410,277 | 6,410,277 |
| Voted | 0 | 23,002,097 | 48,209,042 | 48,879,363 | 48,879,363 | 48,879,363 |
| Total | 0 | 26,737,475 | 56,851,992 | 58,785,751 | 58,591,297 | 58,591,297 |

Spending increased from $26.7 million in 2014-15 to $56.9 million in 2015–16. The variance is primarily due to the figures for 2014-15, which only represented five months of operations, following the creation of the ATSSC on November 1, 2014, as opposed to a full year of operations in 2015–16.

There was an increase of $25.2 million in program expenditures and $4.9 million in statutory expenditures between 2014–15 and 2015–16. Those increases are primarily due to the figures for 2014-15, which as previously noted, represented five months of operations.

The ATSSC also has VNR authority, which gives the department the authority to make recoverable expenditures on behalf of the Canada Pension Plan and the Employment Insurance Operating Account.

The adjustment for the sunsetting of a program reflects the Employee Benefit Plan share of the anticipated VNR authority.

## Expenditures by Vote

For information on the ATSSC's organizational voted and statutory expenditures, consult the *Public Accounts of Canada 2016*.[ii]

## Alignment of Spending With the Whole-of-Government Framework

**Alignment of 2015–16 Actual Spending With the Whole-of-Government Framework[iii] (dollars)**

| Program | Spending Area | Government of Canada Outcome | 2015–16 Actual Spending |
|---|---|---|---|
| 1.1: Tribunal Specialized and Expert Support Services | Government Affairs | Well-managed and efficient government operations | 20,397,746 |
| 1.2: Registry Services | Government Affairs | Well-managed and efficient government operations | 7,477,407 |
| 1.3: Payments to tribunal chairs and members | Government Affairs | Well-managed and efficient government operations | 11,106,695 |

**Total Spending by Spending Area (dollars)**

| Spending Area | Total Planned Spending | Total Actual Spending |
|---|---|---|
| Economic affairs | 0 | 0 |
| Social affairs | 0 | 0 |
| International affairs | 0 | 0 |
| Government affairs | 49,325,784 | 38,981,848 |

# Financial Statements and Financial Statements Highlights

## Financial Statements

Financial statements are available on the ATSSC's[iv] website.

## Financial Statements Highlights

### Condensed Statement of Operations (unaudited) For the Year Ended March 31, 2016 (dollars)

| Financial Information | 2015–16 Planned Results | 2015–16 Actual | 2014–15 Actual | Difference (2015–16 actual minus 2015–16 planned) | Difference (2015–16 actual minus 2014–15 actual) |
|---|---|---|---|---|---|
| Total expenses | n/a | 98,289,456 | 42,290,930 | n/a | 55,998,526 |
| Total revenues | n/a | 24,991,184 | 11,327,707 | n/a | 13,663,477 |
| Net cost of operations before government funding and transfers | n/a | 73,298,272 | 30,963,223 | n/a | 42,335,049 |

### Condensed Statement of Financial Position (unaudited) As at March 31, 2016 (dollars)

| Financial Information | 2015–16 | 2014–15 | Difference (2015–16 minus 2014–15) |
|---|---|---|---|
| Total net liabilities | 15,613,753 | 12,658,346 | 2,955,407 |
| Total net financial assets | 9,098,997 | 15,886,099 | -6,787,102 |
| Departmental net debt | 6,514,756 | -3,227,753 | 9,742,509 |
| Total non-financial assets | 4,565,356 | 4,979,597 | 414,241 |
| Departmental net financial position | 1,949,400 | 8,207,350 | 10,156,750 |

# Section III: Analysis of Program(s) and Internal Services

## Programs

### Program 1.1: Tribunal Specialized and Expert Support Services

#### Description

The Tribunal Specialized and Expert Support Services Program provides expert research, analysis, drafting support and advice as well as other support services including investigation and mediation to assist tribunals in the discharge of their statutory responsibilities. These services are provided by ATSSC employees such as legal counsel, sectoral experts, tribunal assistants and research personnel.

#### Program Performance Analysis and Lessons Learned

The ATSSC successfully supported tribunals in meeting their mandates. Furthermore, several initiatives were undertaken by specialized and expert staff to assist tribunals in making the improvements they required to their operations, policies and procedures.

The ATSSC supported some tribunals in implementing proactive case-management initiatives, including conducting more pre-hearing conferences, using written submissions, adopting measures to reduce last-minute hearing postponement requests and hiring additional experts such as external mediators to resolve disputes.

Assistance was also provided to some tribunals in implementing new processes to improve the time in which decisions are issued, and decision makers were provided access to tools that enabled hearings to be conducted more efficiently.

In one instance, the support provided to a tribunal assisted it in reducing its historical case inventory and attaining the capacity to meet its service standards. In collaboration with that tribunal, the ATSSC made enhancements to procedures, the case management system, the publication of decisions and the toll-free information line, to name only a few initiatives that contributed to improving services to applicants and that enabled the tribunal to reduce its caseload.

Another example is the comprehensive examination of the investigations branch supporting one of the tribunals. By initiating that functional review, the ATSSC was able to identify ways to improve the investigative and analysis services provided to the tribunal, as well as ways to streamline processes, which will eventually lead to operational efficiencies.

In an effort to provide greater access to justice for Canadians through ease of access to information and resources, the ATSSC built new websites or enhanced tribunal web presence to offer easier access to information about the work of the tribunals and their decisions.

The ATSSC also supported the modernization of hearing room facilities, increased outreach with stakeholders and the implementation of several legislative changes.

### Budgetary Financial Resources (dollars)

| | 2015–16 Main Estimates | 2015–16 Planned Spending | 2015–16 Total Authorities Available for Use | 2015–16 Actual Spending (authorities used) | 2015–16 Difference (actual minus planned) |
|---|---|---|---|---|---|
| Expenses | 30,648,786 | 30,648,786 | 33,589,645 | 25,799,313 | -4,849,473 |
| Revenue | 6,899,334 | 6,899,334 | 5,584,586 | 5,401,567 | -1,497,767 |
| Total | 23,749,452 | 23,749,452 | 28,005,059 | 20,397,746 | -3,351,706[6] |

### Human Resources (Full-Time Equivalents [FTEs])

| 2015–16 Planned | 2015–16 Actual | 2015–16 Difference (actual minus planned) |
|---|---|---|
| 266 | 191 | -75 |

[6] As the ATSSC was created on November 1, 2014, no historical data exists to support the establishment of planned spending by program activity.

### Performance Results

| Expected Results | Performance Indicators | Targets | Actual Results |
|---|---|---|---|
| Tribunal members have the necessary advice and support to discharge their functions and achieve their mandates | Support provided allows tribunals to meet their established performance measurements as identified in their respective annual reports | To have been developed by March 31, 2016 | In its 2015–16 Report on Plans and Priorities, the ATSSC indicated that it would develop targets for this performance indicator by March 31, 2016. The ATSSC is in the process of developing targets that measure the effectiveness of the services it provides to the tribunals it supports, and that will take into consideration the new reporting structure and requirements being developed by the Government of Canada. |

## Program 1.2: Registry Services

### Description

The Registry Services Program provides registry services in support of tribunals. The Program works closely with tribunal chairpersons and members to ensure that matters before the tribunals are heard and disposed of in a timely, fair, impartial and efficient manner and within statutory obligations. Services provided include: processing tribunal documents; maintaining and safeguarding tribunal records; providing information to the public regarding tribunal procedures; assisting in the scheduling and conduct of tribunal hearings and assisting in communicating tribunal decisions to the parties and the public. The Registry Services Program is also responsible for developing and monitoring service standards, assessing the performance of registry functions and implementing required improvements.

### Program Performance Analysis and Lessons Learned

The ATSSC undertook several initiatives aimed at ensuring the ongoing delivery of quality registry services that effectively support the work of the tribunals.

The ATSSC supported some tribunals in their efforts to review and streamline certain procedures and timelines to better track case assignments and resolutions with the ultimate goal of

processing case files more quickly and efficiently. It also supported tribunal engagement by enhancing client consultations to optimize service delivery. As well, certain records disposition authorities were reviewed to ensure appropriate retention and disposition of case files.

Some tribunal workflows were documented and standardized for more accurate case tracking and more effective and efficient case processing. As described previously, communities of practice were established to promote the sharing of knowledge, best practices and tools among registry staff across the organization.

Other initiatives included offering training and development opportunities for staff to enhance their knowledge and effectiveness, the goal of which is to provide better and more adaptive support to members.

### Budgetary Financial Resources (dollars)

| | 2015–16 Main Estimates | 2015–16 Planned Spending | 2015–16 Total Authorities Available for Use | 2015–16 Actual Spending (authorities used) | 2015–16 Difference (actual minus planned) |
|---|---|---|---|---|---|
| Expenses | 11,002,128 | 11,002,128 | 12,057,821 | 13,846,236 | 2,844,108 |
| Revenue | 2,476,684 | 2,476,684 | 6,584,622 | 6,368,829 | 3,892,145 |
| Total | 8,525,444 | 8,525,444 | 5,473,199 | 7,477,407 | -1,048,037[7] |

### Human Resources (Full-Time Equivalents [FTEs])

| 2015–16 Planned | 2015–16 Actual | 2015–16 Difference (actual minus planned) |
|---|---|---|
| 66 | 164 | 98 |

[7] As the ATSSC was created on November 1, 2014, no historical data exists to support the establishment of planned spending by program activity.

## Performance Results

| Expected Results | Performance Indicators | Targets | Actual Results |
|---|---|---|---|
| Tribunals have accurate and complete records on which to base their decisions and the public is properly informed of tribunal processes, proceedings and decisions | Support provided allows tribunals to meet their established performance measurements as identified in their respective annual reports | To have been developed by March 31, 2016 | In its 2015–16 Report on Plans and Priorities, the ATSSC indicated that it would develop targets for this performance indicator by March 31, 2016. The ATSSC is in the process of developing targets that measure the effectiveness of the services it provides to the tribunals it supports, and that will take into consideration the new reporting structure and requirements being developed by the Government of Canada. |

## Program 1.3: Payments to tribunal chairs and members

### Description

The program administers appropriations with respect to tribunal chairs' and members' salaries and other compensation pursuant to the terms of tribunals' enacting legislation and Governor-in-Council appointments.

### Program Performance Analysis and Lessons Learned

During the reporting period, the ATSSC's total error rate for payments to Governor in Council (GIC) appointees was 0.44%—well below its 2% target. All GIC appointees were paid in accordance with their terms and conditions of employment. Of 2,047 transactions for GIC pay accounts, there were 8 errors, all of which were reported and corrected. Of the 448 travel expense reimbursements completed for GICs, 3 errors were reported and corrected.

The ATSSC will continue to implement and communicate compensation processes and tools to further reduce the margin of error for payments.

### Budgetary Financial Resources (dollars)

| | 2015–16 Main Estimates | 2015–16 Planned Spending | 2015–16 Total Authorities Available for Use | 2015–16 Actual Spending (authorities used) | 2015–16 Difference (actual minus planned) |
|---|---|---|---|---|---|
| Expenses | 22,004,256 | 22,004,256 | 24,115,642 | 21,299,396 | -704,860 |
| Revenue | 4,953,368 | 4,953,368 | 10,538,057 | 10,192,701 | 5,239,333 |
| Total | 17,050,888 | 17,050,888 | 13,577,585 | 11,106,695 | -5,944,193[8] |

### Human Resources (Full-Time Equivalents [FTEs])

| 2015–16 Planned | 2015–16 Actual | 2015–16 Difference (actual minus planned) |
|---|---|---|
| 222 | 129 | -93 |

[8] As the ATSSC was created on November 1, 2014, no historical data exists to support the establishment of planned spending by program activity.

### Performance Results

| Expected Results | Performance Indicators | Targets | Actual Results |
|---|---|---|---|
| Accurate payment of salaries and other compensation | Error rate on payments | Less than 2% | 0.44% |

## Internal Services

### Description

Internal services are groups of related activities and resources that are administered to support the needs of programs and other corporate obligations of an organization. Internal services include only those activities and resources that apply across an organization, and not those provided to a specific program. The groups of activities are Management and Oversight Services; Communications Services; Legal Services; Human Resources Management Services; Financial Management Services; Information Management Services; Information Technology Services; Real Property Services; Materiel Services; and Acquisition Services.

### Program Performance Analysis and Lessons Learned

In 2015–16, the ATSSC committed to measuring its internal services performance in three areas: to negotiate service standards across the corporate community; to forecast expenditures within 10% of actual expenditures by year end; and to achieve a 90% completion rate for performance agreements. A summary of the ATSSC's results follows.

During the year, the ATSSC initiated discussions and gathered data to identify specific functions where service standards could be established as services and processes are harmonized. Mutually agreed upon service standards for staffing, travel, some information technology services and other processes will be established in the coming years.

The ATSSC established its internal budget management practices and as a result, financial expenditure forecasts were less than 5% of actual expenditures by year end. Work began to develop and implement a budget management policy that will support the organization in improving expenditure forecasting and planning in support of resource allocation.

Eighty percent of staff completed their performance agreements with clearly articulated roles, responsibilities and objectives, which ultimately contributes to building a more cohesive and engaged organization. To improve completion rates next year, the organization will continue to monitor and focus on increasing communication and support to employees and managers across the organization.

In addition to the aforementioned performance commitments, corporate services identified five areas in which it will concentrate its planning efforts: Governance, Community, Systems Support, Administrative Policies and Procedures, and Procurement Strategies.

### Budgetary Financial Resources (dollars)

| | 2015–16 Main Estimates | 2015–16 Planned Spending | 2015–16 Total Authorities Available for Use | 2015–16 Actual Spending (authorities used) | 2015–16 Difference (actual minus planned) |
|---|---|---|---|---|---|
| Expenses | 14,931,460 | 14,931,460 | 16,364,309 | 17,870,144 | 2,938,684 |
| Revenue | 3,361,214 | 3,361,214 | 0 | 0 | -3,361,214 |
| Total | 11,570,246 | 11,570,246 | 16,364,309 | 17,870,144 | 6,299,898[9] |

### Human Resources (FTEs)

| 2015–16 Planned | 2015–16 Actual | 2015–16 Difference (actual minus planned) |
|---|---|---|
| 122 | 119 | -3 |

[9] The difference between planned and actual spending is due to the reallocation of funding throughout the fiscal year for priorities that were led by Internal Services.

# Section IV: Supplementary Information

## Supplementary Information Tables

**The following supplementary information tables are available on the** ATSSC's website.[v]

- Departmental Sustainable Development Strategy[vi]
- Response to Parliamentary Committees and External Audits[vii]

## Federal Tax Expenditures

The tax system can be used to achieve public policy objectives through the application of special measures such as low tax rates, exemptions, deductions, deferrals and credits. The Department of Finance Canada publishes cost estimates and projections for these measures annually in the Report of Federal Tax Expenditures.[viii] This report also provides detailed background information on tax expenditures, including descriptions, objectives, historical information and references to related federal spending programs. The tax measures presented in this report are the responsibility of the Minister of Finance.

## Organizational Contact Information

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# Appendix: Definitions

**appropriation** (*crédit*): Any authority of Parliament to pay money out of the Consolidated Revenue Fund.

**budgetary expenditures** (*dépenses budgétaires*): Operating and capital expenditures; transfer payments to other levels of government, organizations or individuals; and payments to Crown corporations.

**Departmental Performance Report** (*rapport ministériel sur le rendement*): Reports on an appropriated organization's actual accomplishments against the plans, priorities and expected results set out in the corresponding Reports on Plans and Priorities. These reports are tabled in Parliament in the fall.

**full-time equivalent** (*équivalent temps plein*): A measure of the extent to which an employee represents a full person-year charge against a departmental budget. Full-time equivalents are calculated as a ratio of assigned hours of work to scheduled hours of work. Scheduled hours of work are set out in collective agreements.

**Government of Canada outcomes** (*résultats du gouvernement du Canada*): A set of 16 high-level objectives defined for the government as a whole, grouped in four spending areas: economic affairs, social affairs, international affairs and government affairs.

**Management, Resources and Results Structure** (*Structure de la gestion, des ressources et des résultats*)**:** A comprehensive framework that consists of an organization's inventory of programs, resources, results, performance indicators and governance information. Programs and results are depicted in their hierarchical relationship to each other and to the Strategic Outcome(s) to which they contribute. The Management, Resources and Results Structure is developed from the Program Alignment Architecture.

**non-budgetary expenditures** (*dépenses non budgétaires*): Net outlays and receipts related to loans, investments and advances, which change the composition of the financial assets of the Government of Canada.

**performance** (*rendement*)**:** What an organization did with its resources to achieve its results, how well those results compare to what the organization intended to achieve, and how well lessons learned have been identified.

**performance indicator** (*indicateur de rendement*): A qualitative or quantitative means of measuring an output or outcome, with the intention of gauging the performance of an organization, program, policy or initiative respecting expected results.

**performance reporting** (*production de rapports sur le rendement*): The process of communicating evidence-based performance information. Performance reporting supports decision making, accountability and transparency.

**planned spending** (*dépenses prévues*): For Reports on Plans and Priorities (RPPs) and Departmental Performance Reports (DPRs), planned spending refers to those amounts that receive Treasury Board approval by February 1. Therefore, planned spending may include amounts incremental to planned expenditures presented in the Main Estimates.

A department is expected to be aware of the authorities that it has sought and received. The determination of planned spending is a departmental responsibility, and departments must be able to defend the expenditure and accrual numbers presented in their RPPs and DPRs.

**plans** (*plan*): The articulation of strategic choices, which provides information on how an organization intends to achieve its priorities and associated results. Generally a plan will explain the logic behind the strategies chosen and tend to focus on actions that lead up to the expected result.

**priorities** (*priorité*)**:** Plans or projects that an organization has chosen to focus and report on during the planning period. Priorities represent the things that are most important or what must be done first to support the achievement of the desired Strategic Outcome(s).

**program** (*programme*)**:** A group of related resource inputs and activities that are managed to meet specific needs and to achieve intended results and that are treated as a budgetary unit.

**Program Alignment Architecture** (*architecture d'alignement des programmes*)**:** A structured inventory of an organization's programs depicting the hierarchical relationship between programs and the Strategic Outcome(s) to which they contribute.

**Report on Plans and Priorities** (*rapport sur les plans et les priorités*): Provides information on the plans and expected performance of appropriated organizations over a three-year period. These reports are tabled in Parliament each spring.

**results** (*résultat*): An external consequence attributed, in part, to an organization, policy, program or initiative. Results are not within the control of a single organization, policy, program or initiative; instead they are within the area of the organization's influence.

**statutory expenditures** (*dépenses législatives*): Expenditures that Parliament has approved through legislation other than appropriation acts. The legislation sets out the purpose of the expenditures and the terms and conditions under which they may be made.

**Strategic Outcome** (*résultat stratégique*): A long-term and enduring benefit to Canadians that is linked to the organization's mandate, vision and core functions.

**sunset program** (*programme temporisé*): A time-limited program that does not have an ongoing funding and policy authority. When the program is set to expire, a decision must be made whether to continue the program. In the case of a renewal, the decision specifies the scope, funding level and duration.

**target** (*cible*): A measurable performance or success level that an organization, program or initiative plans to achieve within a specified time period. Targets can be either quantitative or qualitative.

**voted expenditures** (*dépenses votées*): Expenditures that Parliament approves annually through an Appropriation Act. The Vote wording becomes the governing conditions under which these expenditures may be made.

**Whole-of-government framework** (*cadre pangouvernemental*): Maps the financial contributions of federal organizations receiving appropriations by aligning their Programs to a set of 16 government-wide, high-level outcome areas, grouped under four spending areas.

# Endnotes

i. *Administrative Tribunals Support Service of Canada Act*, http://laws-lois.justice.gc.ca/eng/acts/A-1.5/
ii. **Public Accounts of Canada 2016**, http://www.tpsgc-pwgsc.gc.ca/recgen/cpc-pac/index-eng.html
iii. **Whole-of-Government Framework**, http://www.tbs-sct.gc.ca/hgw-cgf/finances/rgs-erdg/wgf-ipp-eng.asp
iv. **Financial Statements**, http://www.canada.ca/en/administrative-tribunals-support-service/reports.html
v. **Administrative Tribunals Support Service of Canada**, http://www.canada.ca/en/administrative-tribunals-support-service/index.html
vi. **2016-2017 Departmental Sustainable Development Strategy**, https://www.canada.ca/en/administrative-tribunals-support-service/transparency/20162017departmentalstrategy.html
vii. **Administrative Tribunals Support Service of Canada**, http://www.canada.ca/en/administrative-tribunals-support-service/index.html
viii. **Report of Federal Tax Expenditures**, http://www.fin.gc.ca/purl/taxexp-eng.asp
ix. **Administrative Tribunals Support Service of Canada**, http://www.canada.ca/en/administrative-tribunals-support-service/index.html